STATE OF ILLINOIS SECRETARY OF STATE SECURITIES DEPARTMENT

IN THE MATTER OF: ERIC WILLIAM JOHNSON)) FILE NO. 1400453
)

NOTICE OF HEARING

TO THE RESPONDENT:

ERIC WILLIAM JOHNSON

(CRD # 2142522) 609 South Jackson Hinsdale, Illinois 60521

You are hereby notified that pursuant to Section 11.E of the Illinois Securities Law of 1953 [815 ILCS 5] (the "Act") and 14Ill. Adm. Code 130, Subpart K, a public hearing will be held at 69 West Washington Street, Suite 1220, Chicago, Illinois 60602, on the 24th day of September 2015, at the hour of 10:00 a.m., or as soon as possible thereafter, before James L. Kopecky, Esq. or such duly designated Hearing Officer of the Secretary of State.

Said hearing will be held to determine whether an Order shall be entered pursuant to Section 11.E of the Act prohibiting Respondent from acting as an investor advisor or investment advisor representative and from selling or offering for sale securities and revoking Respondent's respective registrations in the State of Illinois and/or granting such other relief as may be authorized under the Act including but not limited to imposition of a monetary fine in the maximum amount pursuant to 11.E(4) of the Act, payable within 10 (ten) days of the order.

The grounds for such proposed action are as follows:

- 1. That Eric William Johnson ("Respondent") was registered with the State of Illinois as a Salesperson from July 5, 1999 through September 24, 2014 and as an Investment Advisor Representative from October 30, 2002 through September 24, 2014.
- 2. That Section 8.E (1)(j) of the Act provides, inter alia, that the registration of a salesperson, investment advisor or investment advisor representative may be revoked if the Secretary of State finds that such salesperson, investment advisor or investment advisor representative has been suspended by any self-regulatory organization registered under the Federal 1934 Act or the Federal 1974 Act arising from any fraudulent or deceptive act or a practice in violation of any rule, regulation or standard duly promulgated by the self-regulatory organization.

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- 3. That the FINRA is a self-regulatory organization as specified in Section 8.E (1)(j) of the Act.
- 4. That on October 7, 2014 FINRA accepted the Respondent's Letter of Acceptance, Waiver and Consent which imposed a bar upon the Respondent in all capacities from association with any FINRA member.

5. That FINRA found:

"Respondent violated NASD Rules 2330(a) and 2110 and FINRA Rules 2150(a) and 2010, by misappropriating more than \$1,000,000 from at least six Firm customers' brokerage accounts. Respondent violated NASD Rule 2110 and FINRA Rule 2010, by falsifying, or causing to be falsified, the signatures of two Firm employees and notarized seals on Firm documents."

- 6. Section 8.E.(1)(g) provides, inter alia, that subject to the provisions of subsection F of Section 8 of this Act, the registration of a salesperson, investment advisor or investment advisor representative may be revoked if the Secretary of State finds the salesperson, investment advisor or investment advisor has violated any of the provisions of this Act.
- 7. Section 8.E.(3) provides that the Secretary of State may institute a revocation or suspension proceeding within 2 years after withdrawal became effective and enter a revocation or suspension order as of the last date on which registration was effective.
- 8. That based on the foregoing Respondent's registrations as a salesperson and as an investment advisor representative are subject to revocation.

You are further notified that you are required pursuant to Section 130.1104 of the Rules and Regulations (14 Ill. Adm. Code 130) (the "Rules"), to file an answer to the allegations outlined above within thirty (30) days of the receipt of this notice. A failure to file an answer within the prescribed time shall be construed as an admission of the allegations contained in the Notice of Hearing.

Furthermore, you may be represented by legal counsel; may present evidence; may cross-examine witnesses and otherwise participate. A failure to so appear shall constitute default, unless any Respondent has upon due notice moved for and obtained a continuance.

The Rules promulgated under the Act and pertaining to Hearings held by the Office of the Secretary of State, Securities Department may be viewed online at http://www.cyberdriveillinois.com/departments/securities/lawrules.html.

Delivery of notice to the designated representative of any Respondent constitutes service upon such Respondent.

NOTICE OF HEARING

DATED:

This, day of July 2015.

Desce White

Secretary of State State of Illinois

Attorney for the Secretary of State: Gregory J. Solberg Office of the Secretary of State Illinois Securities Department 69 West Washington Street, Suite 1220 Chicago, Illinois 60602 Telephone: (312) 793-9643

Hearing Officer: James Kopecky 190 S. LaSalle Street Chicago, Illinois 60603 Phone: (312) 380-6552